

01/25/99

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PTO/SB/05 (1/98)  
Approved for use through 09/30/2000 OMB-0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1914

First Inventor or Application Identifier: Shunpei Yamazaki; Yasuhiko Takemura; Hongyong Zhang

Title: Semiconductor Device and Method for Forming the Same

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [39]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [9]
4. ☒ Oath or Declaration Total Pages [2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
1. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement [ ] Copies of IDS Citations  
(IDS)/PTO-1449
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ \*Small Entity [ ] Statement filed in prior application, Status still proper and desired  
(PTO/SB/09-12)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

\*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 08/841,638 filed 04/30/97;  
which is a continuation of U.S. Serial No. 08/460,560 filed 06/02/95, now abandoned. Prior application information:  
Examiner: S. Hawranek Group/Art Unit: 2813

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Eric J. Robinson, Esquire  
Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.  
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Name (Print/Type) Eric J. Robinson, Esquire

Registration No. (Attorney/Agent) 38,285

Signature

Date: 1-25-99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

01/25/99

1c595 U.S. PTO

PTO/SB/17 (1/98)

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# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997. Small Entity  
payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms  
PTO/SB/09-12

## Complete If Known

Application Number	Unassigned
Filing Date	Unassigned
First Named Inventor	Shunpei Yamazaki et al.
Examiner Name	S. Hawranet
Group Art Unit	2813

TOTAL AMOUNT OF PAYMENT (\$)**1,762.00**

Attorney Docket Number 0756-1914

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  
Deposit Account No. 19-2380(0756-1914)  
Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance
2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	760	201	395	Utility filing fee	[760]
106	330	206	165	Design filing fee	[ ]
107	540	207	270	Plant filing fee	[ ]
108	790	208	395	Reissue filing fee	[ ]
114	150	214	75	Provisional filing fee	[ ]

SUBTOTAL (1) [760]

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
36	- 20** = 16	X 22 =	\$352
Independent Claims	8	- 3** = 5	X 78 = \$390
Multiple Dependent Claims			= \$260

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	22	203	11	Claims in excess of 20
102	82	202	41	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	82	209	41	**Reissue Independent claims over original patent
110	22	210	11	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) 1002]

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

##### Large Entity

##### Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Ext for reply within first month	
116	400	216	200	Ext for reply within second mth	
117	950	217	475	Ext for reply within third mth	
118	1,510	218	755	Ext for reply within fourth mth	
128	2,060	228	1,030	Ext for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing brief in support of appeal	
121	270	221	135	Request for Oral Hearing	
138	1,510	138	1,510	Petition to institute public use proceeding	
140	110	240	55	Petition to revive-unavoidable	
141	1,320	241	660	Petition to revive-unintentional	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of IDS	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	
				Other _____	
				Other _____	

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$

### SUBMITTED BY

Typed or Printed Name Eric J. Robinson

Signature

Date

1-25-99

### Complete (if applicable)

Reg. Number 38,285

Deposit Account User ID

19-2380

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